



Receipt

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: August 13, 2001

Name: Lisa M. Davis

Signature: *Lisa M. Davis*

*Clifford Chance Rogers & Wells LLP*

Docket No. 3499/82

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/870,811

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON BROADCAST DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS

**RECEIVED**  
NOV 14 2001  
Technology Center 2100

**REQUEST FOR A CORRECTED FILING RECEIPT**

Commissioner for Patents  
Washington, D.C. 20231

Upon review of the Official Filing Receipt, we have noted an error in the title "METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS" the title should read -- METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON BROADCAST DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS --.

A copy of the Filing Receipt with the error marked in red ink is enclosed for your reference. It is requested that this error be corrected and a Corrected Filing Receipt be issued.

It is believed that this error originated in the Patent Office and therefore no fee is required for this correction. However, the Commissioner is hereby authorized to charge any additional fees due to Deposit Account No. 50-0521.

Date: August 13, 2001

Respectfully submitted,

*Mitchell S. Feller*  
Mitchell S. Feller  
Reg. No. 42,530

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153  
Telephone: (212) 878-8545

Docket No.3499/82

NYB 1275317.1



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/870,811	05/31/2001	2161	1178	3499-82	10	46	3

CONFIRMATION NO. 1258

## FILING RECEIPT



\*OC000000006364436\*

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

Date Mailed: 07/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Andrew J.R. Smith, New York, NY;  
Deane Thomas, New York, NY;  
Randy Cowan, New York, NY;

RECEIVED  
NOV 14 2001  
Technology Center 2100

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/223,397 08/04/2000  
AND CLAIMS BENEFIT OF 60/227,162 08/22/2000

## Foreign Applications

If Required, Foreign Filing License Granted 07/28/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Method and system for processing financial data objects carried on data streams and delivering information to subscribing clients

Broadcast

## Preliminary Class

705

---

Data entry by : IBRAHIM, SADIE

Team : OIPE

Date: 07/31/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**RECEIVED**  
NOV 14 2001  
Technology Center 2100

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

**FILE COPY**

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 1258

<b>SERIAL NUMBER</b> 09/870,811	<b>FILING DATE</b> 05/31/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2161	<b>ATTORNEY DOCKET NO.</b> 3499-82
------------------------------------	---	---------------------	-------------------------------	---------------------------------------

**APPLICANTS**

Andrew J.R. Smith, New York, NY;  
Deane Thomas, New York, NY;  
Randy Cowan, New York, NY;

\*\* CONTINUING DATA \*\*\*\*\*

\*\* FOREIGN APPLICATIONS \*\*\*\*\*

**IF REQUIRED, FOREIGN FILING LICENSE GRANTED**

\*\* 07/28/2001

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	<b>STATE OR COUNTRY</b> NY	<b>SHEETS DRAWING</b> 10	<b>TOTAL CLAIMS</b> 46	<b>INDEPENDENT CLAIMS</b> 3
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged Examiner's Signature _____ Initials _____				

**ADDRESS**

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

**TITLE**

Method and system for processing financial data objects carried on broadcast data streams and delivering information to subscribing clients

<b>FILING FEE RECEIVED</b> 1308	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
		<input type="checkbox"/> 1.16 Fees ( Filing )
		<input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )
		<input type="checkbox"/> 1.18 Fees ( Issue )
		<input type="checkbox"/> Other _____
		<input type="checkbox"/> Credit